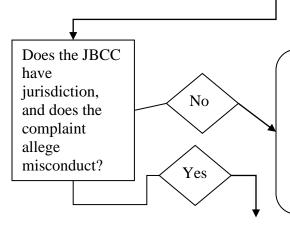
Judicial Branch Certification Commission (JBCC)

Certification Division: Compliance Section

A complaint is received by the Office of Court Administration (OCA) Certification Division-Compliance Section.

The complaint is reviewed to determine if the JBCC has jurisdiction and, if so, whether it appears a violation has occurred. If there is not enough information to make a determination, the Compliance Section requests more information from the Complainant.



If not, a case is not opened for investigation and the complaint is administratively dismissed. A letter is sent to the Complainant explaining the reason for the dismissal. The Complainant may request reconsideration by the JBCC.

If the JBCC does have jurisdiction in the matter, a case is opened, a complaint number is assigned, and the case is assigned to an investigator. A letter is sent to the Respondent informing him of the complaint and the investigation process and instructing the Respondent respond in writing within 20 days. A copy of the complaint is attached to the letter sent to the Respondent, and a copy of the letter is sent to the Complainant. If we cannot make a determination, the case should be opened for investigation.

During the course of the investigation, the investigator will interview the Complainant and obtain any further documentation needed. The investigator interviews the Respondent and obtains any further documentation needed. The investigator then interviews the collateral witnesses and obtains any documentation needed, and conducts follow-up interviews as needed, and completes a report of investigation summarizing the findings of the complaint.

The investigator completes the investigation and submits a report to the Advisory Board Review Committee appointed by the JBCC.

The Advisory Board Review Committee makes a recommendation to the JBCC on if a violation has occurred.



If the JBCC accepts the Review Committee recommendation to dismiss the complaint, letters are sent to the Complainant and Respondent.

If the JBCC determines a violation h occurred, a Notice of Alleged Violation is sent informing the Respondent of the Respondent's right to accept the determination or request a hearing before the JBCC.

If the Respondent accepts the determination and an agreement is reached, an Agreed Order is issued by the JBCC. If there are terms of compliance that must be met, and/or if there is a payment plan for the penalty, the closed file is transferred to Compliance Section for monitoring.

If no agreement is reached, the Respondent does not request a hearing, and no response is received, a default order is issued by the JBCC approving the determination and imposing the recommended penalty, sanction, or both.

If the Respondent submits a written request for a hearing, a hearing is scheduled with the JBCC and a notice of hearing is sent to the Respondent. A hearing is conducted on the scheduled date.

Once the case is heard by the JBCC, it issues an order. The JBCC must give notice of the order.

The Respondent has 30 days following the JBCC order to file an appeal to a three member Panel of Regional Presiding Judges. If the Respondent does not file an appeal, or if an appeal is filed and the order is upheld, if there are terms of compliance for the Respondent to meet, the case is transferred to the Certification Division Compliance Section for monitoring.